Substitute for form 1449A/PTO				Application Number	10/700,406
				Filing Date	November 4, 2003
INFORMATION DISCLOSURE				First Named Inventor	Matt MORANO
STATEMENT BY APPLICANT			LICANT	Art Unit	3696
(Use as many sheets as necessary)				Examiner Name	Clement B. GRAHAM
Sheet	1	of	5	Attorney Docket No. NYMX0002	

			U.S. PATENT	DOCUMENTS	
Examiner Initials	Cite No.1	Document No. No. – Kind Code ²	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where Releva Passages or Relevant Figures Appea
		2008/0077320	03-27-2008	LOFTUS, ET AL.	
		2007/0282733	12-06-2007	MAY	
		2007/0239591	10-11-2007	MAY	
		2007/0011079	01-11-2007	MAY	
		2006/0190383	08-24-2006	MAY	
		2006/0095363	05-04-2006	MAY	
		2004/0015431	01-22-2004	MAY	
		2004/0015430	01-22-2004	MAY	
		2003/0229571	12-11-2003	MAY	
		2003/0220868	11-23-2003	MAY	
		2003/0093360	05-15-2003	MAY	
		2002/0116317	08-22-2002	MAY	
		2002/0099651	07-25-2002	MAY	
		2002/0002530	01-03-2002	MAY	
		F	OREIGN PATE	ENT DOCUMENTS	
Examiner Cite		Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵	Publication Da MM-DD-YYY		Pages, Columns. Lines Where Relevant Passages or Relevant Figures Appear
. , ,					

SIGNATURE CONSIDERED			DATE CONSIDERED	
----------------------	--	--	--------------------	--

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

Substitute for	form 1449A/PTO			Application Number	10/700,406	
				Filing Date	November 4, 2003	
	ORMATION DIS			First Named Inventor	Matt MORANO	
STATEMENT BY APPLICANT				Art Unit	3696	
(Use as many sh	eets as necessary)			Examiner Name	Clement B. GRAHAM	
Sheet	2	of	5	Attorney Docket No.	NYMX0002	

			U.S. P.	ATENT I	DOCU	MENTS		
Examiner Cite Initials No.1		Document No. No. – Kind Code ²	Publication Date MM-DD-YYYY		Name of Patentee or Applicant of Cited Doc		Pages, Columns, Lines, Where R Passages or Relevant Figures A	
		2006/0059064	03-16	-2006	GLINI	BERG, ET AL		
		2006/0059066	03-16	-2006	GLINI	BERG, ET AL.		
		2006/0059068	03-16	-2006	GLINI	BERG, ET AL.		
		2006/0059067	03-16	-2006	GLINI	BERG, ET AL.		
		2006/0059065	03-16	-2006	GLINI	BERG, ET AL.		
		2006/0059069	03-16	-2006	GLINI	BERG, ET AL.		
		2006/0265296	11-23	-2006	GLINI	BERG, ET AL.		
		2006/0190371	08-24	-2006	ALMO	REN, ET AL.		
		2005/0086152	04-21	-2005	SWEETING			
		2003/0033240	02-13	3-2003 BALSON, ET AL.		ON, ET AL.		
		2002/0169774	11-14	-2002	GREENBAUM, ET AL.			
		2001/0056398	12-27	-2001	SCHE	IRER		
		2005/0171894	08-04	-2005	TRAY	NOR		
· 		2005/0283422	12-22	-2005	MYR			
			FOREIG	N PATE	NT DO	CUMENTS		
		Foreign Patent Document		ublication Da		Name of Patentee or	Pages, Columns. Lines	T ⁶
Examiner Cite Initials No. ¹		Country Code ³ Number ⁴ Kind Cod	ie ⁵	s MM-DD-YYY		Applicant of Cited Doc	Where Relevant Passages or Relevant Figures Appear	T*
								

		······································	
EXAMINER		DATE	
SIGNATURE		CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid. OMB control number

Substitute fo	or form 1449A/P	го		Application Number	10/700,406		
				Filing Date	November 4, 2003		
	ORMATION			First Named Inventor	Matt MORANO		
STATEMENT BY APPLICANT				Art Unit	3696		
(Use as many s	(Use as many sheets as necessary)			Examiner Name	Clement B. GRAHAM		
Sheet	3	3 of 5 Attorney Docket No.		NYMX0002			

			U.S. PATEN	IT DO	CUMENTS		
Examiner Initials	Cite No.1	Document No. No. – Kind Code ²	Publication Da MM-DD-YYY		Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where Re Passages or Relevant Figures Ap	
		2006/0173761	08-03-2006	C	OSTAKIS		
		2002/0116314	08-22-2002	SF	PENCER, ET AL.		
		2004/0186806	09-23-2004	SI	NCLAIR, ET AL.		
		2004/0172337	09-02-2004	SF	POONHOWER, ET AL.		
		2005/0097027	05-05-2005	K	AVANAUGH		
		2005/0137964	06-23-2005	N	ORDLICHT, ET AL.		
		2005/0171890	08-04-2005	DA	ALEY, ET AL.		
		2002/0035531	03-21-2002	Pl	JSH		
		2002/0077947	06-20-2002	w	ARD, ET AL.		
		2002/0178102	11-28-2002-	so	CHEINBERG, ET AL.		
		2003/0125982	07-03-2003-	GI	NSBERG, ET AL.		
·		2005/0080703	04-14-2005	Cł	HESA, ET AL.		
		2002/0156719	10-24-2002	FI	NEBAUM, ET AL.		
		2004/0254804	12-16-2004	PE	ETERFFY, ET AL.		
		2005/0044027	02-24-2005	R	DDGERS, ET AL.		
		2004/0236662	11-25-2004	K	ORHAMMER, ET AL.		
		2005/0246263	11-03-2005	00	GG, ET AL.		
			FOREIGN PA	TENT	DOCUMENTS		
Examiner Initials	Cite No.1	Foreign Patent Document Country Code ³ Number ⁴ Kind Cod	Publicatio MM-DD-		Name of Patentee or Applicant of Cited Doc	Pages, Columns. Lines Where Relevant Passages or Relevant Figures Appear	T ⁶

·		
EXAMINER	DATE	
SIGNATURE	CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a velid. OMB control number

Substitute for form 1449A/PTO				Application Number	10/700,406
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Filing Date	November 4, 2003
				First Named Inventor	Matt MORANO
				Art Unit	3696
				Examiner Name	Clement B. GRAHAM
Sheet	4	of	5	Attorney Docket No.	NYMX0002

		U.S. PATENT	DOCUMENTS		
Cite No. ¹	Document No. No. – Kind Code ²	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where R Passages or Relevant Figures A	televant Appear
	6,996,540	02-07-2006	MAY	į	
	6,317,727	11-13-2001	MAY		
	7,130,789	10-31-2006	GLODJO, ET AL.		
	6,321,212	11-20-2001	LANGE		
	6,721,715	04-13-2004	NEMZOW		
	7,043,457	05-09-2006	HANSEN		
	7,177,833	02-13-2007	MARYNOWSKI, ET AL.		
	7,194,481	03-20-2007	VAN ROON		
	6,658,393	12-02-2003	BASCH, ET AL.		
	6,347,307	02-12-2002	SANDHU, ET AL.		
	F	OREIGN PATE	ENT DOCUMENTS		
Cite No.1	Foreign Patent Document Country Code ³ Number ⁴ Kind Code	MANA DD VVV		Pages, Columns. Lines Where Relevant Passages or Relevant Figures Appear	Т°
	No.1	6,996,540 6,317,727 7,130,789 6,321,212 6,721,715 7,043,457 7,177,833 7,194,481 6,658,393 6,347,307	Cite No.1 Document No. No. – Kind Code² Publication Date MM-DD-YYYY 6,996,540 02-07-2006 6,317,727 11-13-2001 7,130,789 10-31-2006 6,321,212 11-20-2001 6,721,715 04-13-2004 7,043,457 05-09-2006 7,177,833 02-13-2007 6,658,393 12-02-2003 6,347,307 02-12-2002 FOREIGN PATE	6,996,540 02-07-2006 MAY 6,317,727 11-13-2001 MAY 7,130,789 10-31-2006 GLODJO, ET AL. 6,321,212 11-20-2001 LANGE 6,721,715 04-13-2004 NEMZOW 7,043,457 05-09-2006 HANSEN 7,177,833 02-13-2007 MARYNOWSKI, ET AL. 7,194,481 03-20-2007 VAN ROON 6,658,393 12-02-2003 BASCH, ET AL. 6,347,307 02-12-2002 SANDHU, ET AL. FOREIGN PATENT DOCUMENTS Foreign Patent Document Foreign Patent Document Publication Date MM-DD-YYYY Applicant of Cited Doc	Cite Document No. Publication Date Name of Patentee or Applicant of Cited Doc Pages, Columns, Lines, Where For Pages, Columns, Lines, Where Fo

EXAMINER	DATE	
SIGNATURE	CONSIDERED	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid. OMB control number

Substitute for form 1449A/PTO				Application Number	10/700,406
				Filing Date	November 4, 2003
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				First Named Inventor	Matt MORANO
				Art Unit	3696
				Examiner Name	Clement B. GRAHAM
Sheet	5	of	5	Attorney Docket No.	NYMX0002

NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s) publisher, city and/or country where published	T ²			
		PCT/US06/44932; INTERNATIONAL SEARCH REPORT; AUGUST 19, 2008				
		PCT/US06/43282; INTERNATIONAL SEARCH REPORT; MAY 30, 2008				
		PCT/US06/44702; INTERNATIONAL SEARCH REPORT; AUGUST 17, 2007				
		PCT/US06/44917; INTERNATIONAL SEARCH REPORT; AUGUST 28, 2007				
		PCT/US06/28001; INTERNATIONAL SEARCH REPORT; MAY 7, 2007				
		PCT/US06/27762; INTERNATIONAL SEARCH REPORT; MARCH 9, 2007				
		CME® "Clearing Services CME and LCH"; Advisory Notice; http://www/web.archive.org/web/20050306002321/http://www.cme.com/clearing/rmspan/cm/lch , last accessed February 22, 2007; 1 page				
		CME® "Clearing Services Layout for Results"; Advisory Notice; http://www/web.archive.org/web/20050308181020/http://www.cme.com/clearing/rmspan/cm/rec , last accessed February 22, 2007, 2 pages				
		CME® "Foreign Exchange Products; Trading CME FX Futures: Maximizing the Opportunity for the Individual Investor"; 2005; 6 pages				
		CME® "Glossary for Retail FX"; http://www.cme.com/files/FXWebglossary.pdf; 16 pages				
		Position Limit, http://www.investopedia.com/terms/p/positionlimit/asp; 1 page				
		U.S. Commodity Futures Trading Commission; "Security Futures Products Speculative Position Limits"; http://www.cftc.gov/industryoversight/contractsandproducts/sfpspeculativelimits.html ; July 26, 2007; 1 page				
		U.S. Commodity Futures Trading Commission; "What's New at the CFTC"; http://www.cftc.gov/index.htm ; March 19, 2009; 2 pages				
		U.S. Commodity Futures Trading Commission; "Trading Organizations"; http://www.cfttc.gov/industryoversignt/tradingorganizations.index.htm ; March 19, 2009; 1 page				
		U.S. Commodity Futures Trading Commission; "Clearing Organizations"; http://www.cftc.gov/industryoversight/clearingorganizations/index.htm ; March 19, 2009; 2 pages				
		HALL "Getting Started in Stocks"; Third Edition; Google Book Search; http://books.google.com/books?id=mA-sSK mB2sC&dq=margin+account+maintenance; September 26, 2008; pp. 105-114; Coughlan Publishing; 1997				

EXAMINER	DATE
SIGNATURE	CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) and application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.